

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

**A-71643/MSS (463035-876)**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/521988**

INTERNATIONAL APPLICATION NO.

**PCT/US2003/22059**

INTERNATIONAL FILING DATE

**July 16, 2003**

PRIORITY DATE CLAIMED

**July 19, 2002**

TITLE OF INVENTION

**SYSTEM OXIDATION METHOD FOR THE FORMATION OF THIN GATE AND CAPACITOR DIELECTRICS  
WITH IMPROVED ELECTRICAL PROPERTIES**

APPLICANT(S) FOR DO/EO/US

**Yoshihide Senzaki, Yakov Brichko, Robert B. Herring**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not transmitted by the International Bureau).
  - b. ☐ had been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration (unsigned) of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4)
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

A copy of Notification of Transmittal of International Search Report, Check no. 302390 in the amount of \$1,130.00, and a return stamped addressed postcard.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) <div style="text-align: center; font-size: 1.2em;">107521938</div>		INTERNATIONAL APPLICATION NO. <div style="text-align: center;">PCT/US2003/22059</div>		ATTORNEY'S DOCKET NUMBER <div style="text-align: center;">A-71643/MSS (463035-876)</div>	
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21. The following fees are submitted:

<input checked="" type="checkbox"/> a) Basic national fee .....	\$300.00	\$ 300.00	
<input checked="" type="checkbox"/> b) Examination fee .....	\$200.00	\$ 200.00	
<input checked="" type="checkbox"/> c) Search Fee .....	\$500.00	\$ 500.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$1000.00</b>	<b>\$ 1,000.00</b>

☐ Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE
20 - 100	0 /50 =		x \$250.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	10 -20 =	0	x \$50.00		\$
Independent claims	2 -3 =	0	x \$200.00		\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00		\$
<b>TOTAL OF ABOVE CALCULATIONS =</b>					<b>\$1,130.00</b>

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

**SUBTOTAL =**

	\$1,130.00;	
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Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

+

**TOTAL NATIONAL FEE =**

	\$1,130.00	
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Fee for recording the enclose assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

	\$1,130.00	
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	Amount to be refunded:	\$
	charged:	\$

a. ☒ A check in the amount of \$1,130.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 50-2319 A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:	CUSTOMER NUMBER 32940
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Maria S. Swiatek, Esq. Dorsey & Whitney LLP Intellectual Property Department Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187 Telephone: (650) 494-8700 Facsimile: (650) 494-8771	<div style="text-align: center;">             Signature         </div> <div style="text-align: center;"> <b>Maria S. Swiatek</b>            Name         </div> <div style="text-align: center;">           Registration Number: 37,244         </div>
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**"EXPRESS MAIL" Mailing Label Number EV 182 097 363 US**

Date of Deposit: January 18, 2005

I hereby certify that the below-listed documents are being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service Under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

SIGNED: \_\_\_\_\_

  
Kari Bateman

- [x] Transmittal Letter to the US Designated/Elected Office Concerning a Filing under 35 U.S.C. 371;
- [x] 11 pgs. Specification (including drawings) including 1 pgs. Claims;
- [x] Four (4) sheets of formal drawings (Figs. 1-4);
- [x] Unsigned Declaration (3 pgs.);
- [x] Copy of International Search Report;
- [x] Check No. 302390 in the amount of \$1,130.00 (\$1,000 for Filing Fee at large entity fee, \$130 surcharge for oath);
- [x] Certificate of Express Mailing;
- [x] Return Postcard.